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PTO/SB/21 (08-00)

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number Of Pages In This Submission

8 AND 10  
REFERENCES

Application Number

U.S. Serial No.: 06/750,677  
International Application No.: PCT/JP99/01952

Filing Date

102E Filing Date: June 7, 2001  
International Filing Date: April 12, 1999

First Named Inventor

Koji TAKAHASHI

Group Art Unit

2812

Examiner Name

To Be Assigned

Attorney Docket No.

299002052200

**ENCLOSURES (check all that apply)**☐ Fee Transmittal Form☐ Assignment Papers  
(for an Application)☐ After Allowance Communication to  
Group☐ Fee Attached☐ Drawing(s)☐ Appeal Communication to Board of  
Appeals and Interferences☐ Amendment / Reply☐ Licensing-related Papers☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)☐ After Final☐ Petition☐ Proprietary Information☐ Affidavits/declarations☐ Petition to Convert to a  
Provisional Application☐ Status Letter☐ Extension of Time Request☐ Power of Attorney, Revocation  
Change of Correspondence Address☒ Other Enclosure(s) (please identify  
below):☐ Express Abandonment Request☐ Terminal Disclaimer

1. PTO Form 1449 in duplicate (2 pages)
2. 10 References
3. International search report (2 pages)
4. Return receipt postcard

☒ Information Disclosure Statement  
(3 pages)☐ Request for Refund☐ CD, Number of CD(s) \_\_\_\_\_☐ Certified Copy of Priority Document(s)

Remarks

☐ Response to Missing Parts/  
Incomplete Application☐ Response to Missing Parts  
under 37 CFR 1.52 or 1.53**SIGNATURE OF APPLICANT, ATTORNEY OR AGENT**Firm  
or  
Individual Name

Morrison &amp; Foerster LLP, 755 Page Mill Rd., Palo Alto, California 94304-1018

Madeline I. Johnston, Registration No.: 36,174

Signature

Date

**CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on October 9, 2001.

Kari Cruz

Burden Hours Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



7 / IDS  
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12-3-01

PATENT  
Docket No. 299002052200  
Client Ref. 98R00651/US/END

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Kari Cruz  
Kari Cruz

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In the application of:

Koji TAKAHASHI and Hidenori  
KAWANISHI

Serial No.: 09/786,977  
International Application No: PCT/JP99/01952

102E Filing Date: June 7, 2001  
International Filing Date: April 12, 1999

For: METHOD FOR FORMING  
COMPOUND SEMICONDUCTOR  
LAYER AND COMPOUND  
SEMICONDUCTOR APPARATUS

Examiner: To Be Assigned

Group Art Unit: 2812

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**INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97 AND § 1.98**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

Some of the documents listed on the attached Form PTO-1449 were cited in a Search Report mailed on August 17, 1999, (copy attached) directed to a counterpart international or foreign application.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
  - ☐ A fee is required. A check in the amount of \* is enclosed.
  - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly; no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee. Accordingly, a Petition requesting consideration of the Information Disclosure Statement, an authorization to charge our deposit account, and a Certification under 37 C.F.R. § 1.97(e) are provided herein.

I hereby certify that each item of information was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

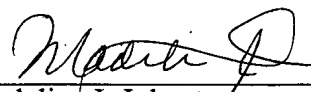
Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is to the best of my knowledge and is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicants petition for any required relief including extensions of time and authorize the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 299002052200. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: October 9, 2001

Respectfully submitted,

By:   
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